7.4.6. "How does this impact operations?"

7.5. Facilitator responsibilities include:

- 7.5.1. Reviewing the reference and presentation materials with participants;
- 7.5.2. Introducing the CAE scenarios;
- 7.5.3. Facilitating discussions using the CAE discussion questions;
- 7.5.4. Keeping the discussion focused on the scenario;
- 7.5.5. Interpreting participant comments to identify potential gaps;
- 7.5.6. Soliciting potential gap solutions;
- 7.5.7. Distributing and collecting surveys at the conclusion of each scenario; and
- 7.5.8. Time management.
- 7.6. Scribe responsibilities include: Capturing the comments from CAE participants, gaps and potential solutions. It is <u>required</u> that notes be taken electronically as a great deal of information will be discussed. Accurate note taking is critical as this information will later be collated, analyzed, and formed into capability gaps. Attachment 2 contains a template to collect and organize CAE comments.

8. CONDUCT GAP ANALYSIS.

8.1. The CAE will have yielded a great deal of raw data. CGAP planners must analyze this data to identify capability gaps and later, link those gaps with potential solutions and metrics. This analytical process requires planners to think critically about the CAE outputs and organize data in a logical and usable format.

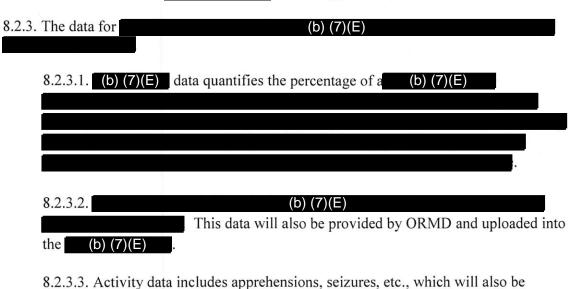
Step	Conduct Capability Gap Analysis
1	Enter survey data into (b) (7)(E)
2	Review quantitative analysis
3	Review and integrate comments
4	Organize comments
5	Develop capability gap statements
6	Develop mission need statements
7	Develop impact statements
8	Link agent identified solutions to identified gaps

Figure 24 CGAP Analysis Steps.

- 8.2. Enter survey data into (b) (7)(E)
 - 8.2.1. The first step in the analysis phase is to enter all survey responses into the (b) (7)(E)

 (b) (7)(E). The (b) (7)(E)

 required for the CGAR. This will also be beneficial in identifying and providing evidence for the existence of capability gaps.
 - 8.2.2. It is important to note that each set of surveys correspond to a specific scenario and should be entered into the (b) (7)(E) accordingly.



8.3. **Review and Consolidate Comments.** Comments will come from two sources: CAE discussions and the comment section of the CAE surveys. The scribe should have already captured CAE comments in the Comment Capture Template, however, participants will also have written comments on the survey sheets themselves. CGAP planners will also need to enter those comments into the Comment Capture Template.

uploaded to the (b) (7)(E) by ORMD.

- 8.4. Organize Comments.
 - 8.4.1. Depending on the types of data collected, comments must be grouped together by USBP Master Capabilities, METs, or via any other applicable attribute. The USBP Master Capabilities are identified and defined in Figure 15.

Įį	SBP Master Capabil	lities	
Planning and Analysis	(b)	(7)	(E)
Intelligence and Counter Intelligence			
Command and Control			
Communications			
Information Management			
Human Capital Management			
Programming and Policy			
Mission Readiness			
Security Partnerships			
Domain Awareness			
Access and Mobility			
Deterrence, Impedance, and Resolution			

(b) (7)(E)

Figure 15 USBP Master Capabilities.

- 8.4.2. Not all comments will require a categorization.
- 8.4.3. In Microsoft Excel, shade each comment by function:

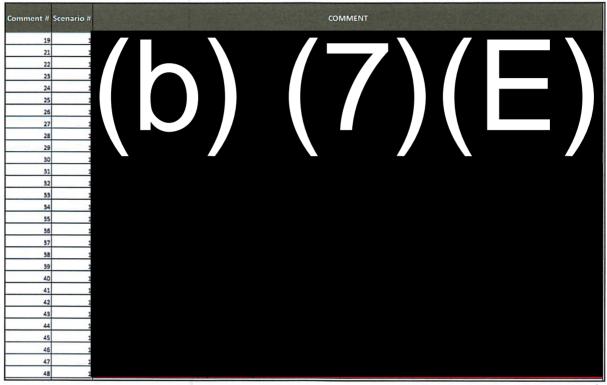


Figure 16 Categorizing Comments by Color.

- 8.4.4. After all comments are categorized, sort by category (color). Directions to sort in Microsoft Excel:
 - 8.4.4.1. In Excel click on the "Data" Tab;
 - 8.4.4.2. Click on cell C at the top of the spreadsheet to highlight the entire column;
 - 8.4.4.3. Click the "Sort" button beneath the "Data" tab;
 - 8.4.4.4. Under "Order" select a color and hit "OK";
 - 8.4.4.5. All comments with that color should have grouped at the top of the sheet; and

8.4.4.6. Repeat steps 3-4 until all colors have been sorted.

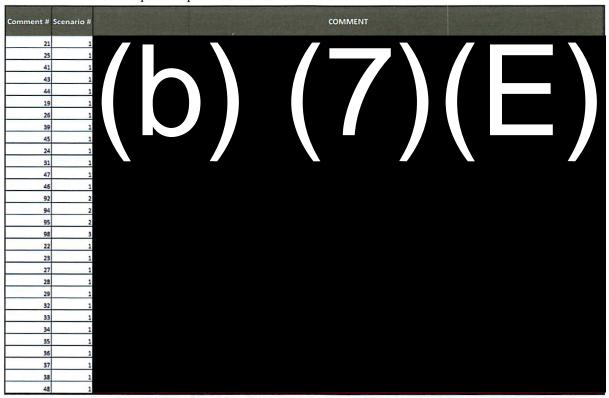


Figure 17 Sorted Comments.

8.5. Develop Capability Gap Statements.

Develop Capability Gap Statements

- 8.5.1. This step requires extensive analysis, which is defined as: the examination of data and facts to uncover and understand cause-effect relationships thus providing basis for problem solving and decision-making.
- 8.5.2. CGAP planners will analyze survey and CAE comments, qualitative survey input, and quantitative measures in order to identify specific capability gaps. The steps below serve as a general guide in drawing conclusions from the data.
 - 8.5.2.1. What patterns emerge around specific items in the data that has been categorized?
 - 8.5.2.1.1. How do these patterns help shed light on what the capability gap is (or is not)?

- 8.5.2.1.2. Are there different patterns within the data of a given category that point to multiple gaps?
- 8.5.2.2. Are there any deviations from these patterns?
 - 8.5.2.2.1. If, yes, what factors could explain these atypical responses?
 - 8.5.2.2.2. Do the comments diverge from other data (ex. survey or quantitative data)? If so why? It is common for discrepancies to appear between quantitative and qualitative data. Use the data to understand why.
- 8.5.2.3. What interesting stories emerge from the data?
- 8.5.2.4. Do any of the patterns/emergent themes suggest that additional data needs to be collected?
 - 8.5.2.4.1. If so, reach back to SMEs to obtain needed data.
- 8.5.2.5. Conclusion drawing and verification are the final step in qualitative data analysis.
 - 8.5.2.5.1. Step back and interpret what all of your findings mean.
 - 8.5.2.5.2. Draw implications from your findings.
 - 8.5.2.5.3. Revisit the data (multiple times) to confirm the conclusions that you have drawn.
- 8.5.3. Capability gap statements will articulate a limited (or complete lack of) ability to do something in terms of capabilities, **NOT** resources. For example, simply stating that "we don't have enough scope trucks", is not the correct way to write a capability gap. The reason being is that scope trucks are likely not the only potential solution for the gap.
- 8.5.4. A capability gap statement must be concise, to the point, and contain **one** capability gap.
- 8.5.5. The following are examples of well written and poorly written capability gap statements:

8.5.5.1. Good:

8.5.5.1.1. Station X is unable to detect incursions.

8.5.5.1.2. Agents are unable to track illegal entrants in the thick foliage just north of the river.

- 8.5.5.1.3. Station Y is unable to visually monitor key ingress points into the AOR, particularly the system of storm drains along the border in Zone 11.
- 8.5.5.1.4. Agents have a limited (and sometimes unpredictable) ability to communicate via Agency radio in the "Border Canyon" area of Zone 33.
- 8.5.5.1.5. Aging equipment and frequent failures prevent nighttime monitoring of AOR ingress points.

8.5.5.2. Poor:

Desert Pass area of Zone 55

- 8.5.5.2.1. Station A needs more ATVs to patrol the AOR. (Statement focuses on a specific solution, not the actual capability gap)
- 8.5.5.2.2. Poor communications, a lack of access to the border area, and old scope trucks lead to Station B getting beat in Zone 22. (Multiple gaps (communications, access, and surveillance) referenced in a single gap statement)
- 8.5.5.2.3. Deployment of personnel and assets is predictable and is exploited by adversaries. (Statement describes a friendly TTP and includes an impact statement, not a capability gap)
- 8.6. Consolidate Gaps. If necessary, similar gap statements can be consolidated into a single new gap statement. If consolidating gaps, make sure that the new statement speaks to a single capability gap.



8.7. **Develop Mission Needs Statement.** A mission need statement consists of one or two sentences that concisely describe what is needed to mitigate a capability gap. *The mission need statement must focus on the capability needed (ex. increase surveillance coverage) and not include specific solutions (ex.* (b) (7)(E)

Gap Statements (if need	
Capability Gap Statement	Mission Need Statement
Station X is unable to detect, identify, classify, and track illegal activity in the	Station X requires increased long range (5+ miles) surveillance

8.8. **Develop Impact Statements.** An impact statement concisely describes the consequences that will result from the continued existence of capability gap. The intent of an impact statement is to convey the current or future outcomes if the gap is unmitigated.

coverage in Zone 55

Capability Gap Statements	Mission Need Statement	Impact Statement
Station X is unable to detect, identify, classify, and track illegal activity in the Desert Pass area of Zone 55	Station X requires increased long range (5+ miles) surveillance coverage in Zone 55	A continued lack of surveillance in the Desert Pass area of Zone 55 will result in missed detections, getaways, and an overall lack of Situational Awareness

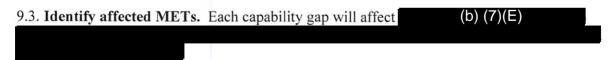
9. CONDUCT CORE CARD ANALYSIS.

9.1. A CORE² card is simply a summary table that provides a "quick look" at a capability gap and the associated mission need and impact statements. It also provides a summary of identified solutions for implementation over a given period of time, version control, evidence of the gap, and potential evaluative measures. The steps below describe how to fill out a CORE card for each capability gap. See Figure 18 CORE Card Steps.

Step	Execute CORE Card	
1	Populate capability gap, mission need, and impact fields	
2	Gather evidence for the capability gap (if available)	
3	Identify affected METs	
4	Analyze agent provided solutions	
5	Populate "Potential Solutions" fields (b) (7)(E)	
6	Identify quantitative and qualitative evaluative measures	
7	Insert "References" and version information	
8	Prioritize the CORE Card at the Station and Sector levels	

Figure 18 CORE Card Steps.

9.2. **Populate Capability Gap, Mission Need, and Impact Fields.** Indicate the appropriate Master Capability (listed in 8.4.) that is affected by the gap. Once complete, enter the consolidated capability gap, mission need, and impact statement into the appropriate field in the **(b) (7)(E)**



² Capabilities, Objective Measures, Resources, Evaluative Methods (CORE) from *Requirements Planning Team Training Guide: Strategic Requirements Planning Process & How to Draft a CORE Document*, Department of Homeland Security, March 2009

- 9.4. Gather evidence of the capability gap. At this point, planners can begin to gather and populate the evidence field. This field is intended for any evidence that helps demonstrate the capability gap. It can be a picture, chart, graph, map, issue paper, emails, memoranda, etc. Evidence adds to the validity of the capability gap and should be included whenever possible. Examples of evidence include, but are not limited to:
 - 9.4.1. Intelligence products;
 - 9.4.2. Issue papers;
 - 9.4.3. Photographs or video evidence;
 - 9.4.4. Significant Incident Reports; and
 - 9.4.5. Sector or station specific documents, analysis, products, etc.
- 9.5. Link Identified Solutions to Capability Gaps. The CAE and survey comments should provide a number of identified solutions to identified gaps. CGAP planners must analyze the identified solutions and map (i.e. link) them to specific gaps. Planners should keep in mind it is possible for a single solution to satisfy multiple gaps.

Develop Gap
Statements

Develop Mission
Need Statements

Develop Impact
Statements

Statements

Solutions to Gaps

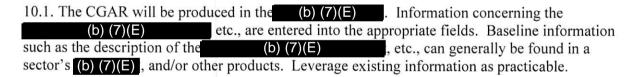
Capability Gap Statements	Mission Need Statement	Potential Solutions (agent provided)
Station X is unable to detect, identify, classify, and track illegal activity in the Desert Pass area of Zone 55	Station X requires increased long range surveillance coverage in Zone 55	(b) (7)(E) Additional (b) (7)(E) Additional (b) (7)(E) Additional (b) (7)(E) Etc.

9.6. Populate Potential Solution Fields. Once planners have identified potential solutions, they must next consider what category they fall into. The CORE card solutions categories are captured in a (b) (7)(E) matrix in the (b) (7)(E). See Figure 19 Solution Categories for details.

Solution Categories		
Doctrine	General principles that guide how operations are conducted	
Organization	How forces are organized (b) (7)(E)	
Training	How forces are prepared for operations (b) (7)(E) training)	
Materiel	Specific "stuff" needed to equip forces ((b) (7)(E) , Infrastructure, etc.)	
Leadership	What is needed from those in leadership roles?	
Personnel	Availability of qualified personnel	
Facilities	Real property (stations, forward operating bases, checkpoint enhancements, etc.)	
Regulations, Authorities, Grants and Standards	Policies, internal operating procedures, standard operating procedures, etc.	
Interoperability/ Partnerships	Involvement of stakeholders	

Figure 19 Solution Categories (DOTMLPF/RAGS/IP).

10. PREPARE AND APPROVE FINAL STATION SUBMISSION.



10.2. **Prioritization of Gaps.** As part of the CGAR preparation, CGAP planners, the station command staff, and the sector command staff will be required to prioritize the CORE cards by level of importance. While the manner in which CORE cards are prioritized (i.e. who prioritizes them) is up to station and sector command staffs, the evaluation criteria is standardized. The final ranking of the station and sector priorities should also be indicated as "Low", "Moderate", "High", or "Urgent and Compelling (U/C)."

10.2.1. Station Ranking Criteria. See Figure 20 Station Ranking Criteria.

	Station Ranking Criteria
Low	 The identified capability gap is not an immediate concern, or It minimally impacts the station's ability to execute its mission now or in the immediate future
Moderate	 The identified capability gap moderately impacts the station's ability to execute its mission (i.e. the impacts are not systemic or devastating to the mission), or Is somewhat likely to impact the station's capability to execute its mission in the immediate future
High	 The identified capability gap significantly impacts the station's ability to execute its mission (i.e. the gap is likely to cause mission failure), or Is likely to impact the station's capability to execute its mission in the immediate future
Urgent and Compelling	The identified capability gap: The capability gap is currently causing mission failure or the capability gap is an urgent officer safety threat ³

Figure 20 Station Ranking Criteria.

10.2.2. Station approval and submittal process. Once CORE Cards are completed, prioritized, and approved by the station command staff, they are submitted to sector via the (b) (7)(E). See Attachment 4.

10.2.3. Sector Ranking Criteria. See Figure 21 Sector Ranking Criteria.

Sector Ranking Criteria		
	The identified capability gap is not an immediate concern, or	
Low	It minimally impacts the sector's ability to execute its mission	
	now or in the immediate future	
	The identified capability gap moderately impacts the sector's	
	ability to execute its mission (i.e. the impacts are not systemic	
Moderate	or devastating to the mission), or	
	Is somewhat likely to impact the sector's capability to execute	
	its mission in the immediate future	
	The identified capability gap significantly impacts the sector's	
	ability to execute its mission (i.e. the gap is likely to cause	
High	mission failure), or	
	 Is likely to impact the sector's capability to execute its mission 	
	in the immediate future	
Urgent and	The identified capability gap:	
Compelling	 The capability gap is currently causing mission failure or the 	
Compening	capability gap is an urgent officer safety threat	

Figure 21 Sector Ranking Criteria.

³ An urgent officer safety threat is defined as: A capability gap that is highly likely to result in death or grievous bodily harm to and agent, officer, or innocent third party.

10.2.4. **Sector approval process.** Sectors will review and validate every station CORE Card and prioritize from the sector perspective.

10.2.5. Sector Roll-up.

- 10.2.5.1. Identify and analyze station CORE Cards with common themes.
- 10.2.5.2. If the CORE Card has been ranked as U/C by the station and sector then, produce a sector CORE Card.
- 10.2.5.3. If there are similar gaps amongst a number of stations in the sector then create a sector CORE Card.
- 10.2.5.4. If the sector has identified a gap that was not identified by the stations then create a sector CORE Card.
- 10.2.5.5. Describe the gap and need from the sector perspective.
- 10.2.5.6. Describe how it impacts the sector as a whole.
- 10.2.6. Sector Submittal to USBP HQ Process. Once CORE Cards are completed, prioritized, and approved by the sector command staff, they are submitted to USBP HQ via the (b) (7)(E). See Attachment 4.
- 11. CANCELLATION. This IOP remains in effect until cancellation by an updated version.
- **12. NO PRIVATE RIGHTS CREATED.** This document is an internal policy statement of the USBP and does not create or confer any rights, privileges, or benefits for any person or party.

Acting Chief, Strategic Planning and Analysis Directorate

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

A1.1. References

DHS Instruction Manual 102-01-00, Acquisition Management Instruction/Guidebook, Department of Homeland Security, Under Secretary for Management, October 1, 2011.

Department of Homeland Security, Acquisition Instruction/Guidebook 102-01-001 Interim v 2.0, September 2010, Appendix B - Systems Engineering Life Cycle, Parts I & II.

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A1.2. Abbreviations and Acronyms

AOR

Area of Responsibility

(b) (7)(E)

ASO Alien Smuggling Organization

ATV All-Terrain Vehicle

CAE Collaborative Analysis Exercise

CBP U.S. Customs and Border Protection

CGAP Capability Gap Analysis Process

CGAR Capability Gap Analysis Report

CONOP Concept of Operation

CORE Capabilities, Objective Measures, Resources, Evaluative Methods

DHS Department of Homeland Security

DOTMLPF/ Doctrine, Organization, Training, Materiel, Leadership, and Education, Personnel,

and Facilities

RAGSIP Regulations, Authorities, Grants, Standards, Interoperability and Partnerships

DTO Drug Trafficking Organization

(b) (7)(E)

(b) (7)(E)

FOB Forward Operating Base

HQ Headquarters

(b) (7)(E)

IFT Integrated Fixed Towers

IoI Item of Interest

IOP Internal Operating Procedure

(b) (7)(E)

K-9 Service Canine Handler

LECA Law Enforcement Communications Assistant

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

OIP

Operational Implementation Plan

OIT

Office of Information and Technology

ORMD

Operational Requirements Management Division

POC

Point of Contact

RMP

Operational Requirements Management Process

(b) (7)(E)

SME

Subject Matter Expert

SPAD

Strategic Planning and Analysis Directorate

TTP

Tactics, Techniques, and Procedures

U/C

Urgent and Compelling

(b) (7)(E)

USBP

United States Border Patrol

A1.3. Terms

Term	Description
Area of Responsibility	Geographical area associated with a command within which the commander has the authority to plan and conduct operations - in addition to geographic delineation, an area of responsibility may also be relative to subject, mission, or other factors. (USBP Lexicon, Version 2, September 2015)
Attributes	A qualitatively or quantitatively measurable characteristic of a system, system element, or system function, that is traceable to a capability or requirement [ORB Lexicon, OTIA TE Lexicon_V2_12Nov2014.]
Baseline	A clearly defined starting point from where implementation begins, improvement is judged, or comparison is made. (Business Dictionary 2012)
Capability	 A unit of properly trained and equipped manpower, and properly operating equipment, or the combination of both manpower and equipment employable to accomplish a mission, function, or objective. As means to accomplish a mission, function, or objective. (USBP Lexicon, Version 2, September 2015)
Capability Gaps	Any lack of ability to perform border security operations due to inadequate equipment, infrastructure, training, or manpower. (USBP Lexicon, Version 2, September 2015)

~:	To the state of the state of the State of (USDD Lander Version
Classify	To determine the level of threat or intent of the item of interest. (USBP Lexicon, Version 2, September 2015)
Collection	In intelligence usage, the acquisition of information and the provision of this information to processing elements. (USBP Lexicon, Version 2, September 2015)
Conditions	Variables of the operational environment that affect task performance (e.g., weather, terrain) ("MEASURES, METRICS, AND SYSTEMS-OF-SYSTEMS, Bridging a Gap between Academic and DoD Systems Engineering Terminology", O. Thomas Holland, Naval Surface Warfare Center)
Detect	The processed results from one or more deployed technology(s) that results in identification of a suspect anomaly that exhibits the characteristics of illicit activity. (USBP Lexicon, Version 2, September 2015)
Domain	A problem space (e.g., operational environments - Land, Air. Maritime). (IEEE 2010)
Effectiveness	Efforts are adequate to accomplish purpose or they produce the intended or expected results. (USBP Lexicon, Version 2, September 2015)
End State	A set of required conditions that, when achieved, attain the aims set for the campaign or operation; What the Commander wants the situation to be when operations conclude — both law enforcement operations as well as those where the Border Patrol is in support of other instruments of national power. (JP 1-02)
Entry	The act, by a foreigner, of crossing the International Boundary into the United States, legally or illegally (entry without inspection), with the purpose of remaining for an unspecified period of time. (USBP Lexicon, Version 2, September 2015)
Master Capabilities	The essential combinations of resources (e.g., personnel, training, equipment, technology, infrastructure, etc.) that provide the U.S. Border Patrol (USBP) with the fundamental operational means by which to conduct its METs successfully. (USBP RMP, Version 1, June 2016)
(b) (7)(1	≡)
Gaps	Amount by which a "need" exceeds resources (System Analysis Guidebook, Version 1.0, September 28, 2012, Homeland Security Science and Technology)
Identify	To determine what the item of interest is (human, animal, conveyance). (USBP Lexicon, Version 2, September 2015)
Information	 The product resulting from the domestic collection, processing, analysis, and interpretation of available information concerning organizations, individuals, or areas that has been obtained through observation, investigation, analysis, or understanding. Facts, data, or instructions in any medium or form. The meaning that a human assigns to data by means of the known conventions used in their representation. (USBP Lexicon, Version 2, September 2015)
(b) (7)(E)
Interdict	 A tactical task which in support of law enforcement means to conduct activities to divert, disrupt, delay, intercept, board, detain, or destroy, as appropriate, vessels, vehicles, aircraft, people, and cargo. To seal off an area by any means; to deny use of a route or approach. (USBP Lexicon, Version 2, September 2015)